



Docket No.: 61,092 (70904)  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: S. Miyanishi, et al.

Application No.: 11/811,429

Confirmation No.: 2958

Filed: March 25, 2004

Art Unit: 2627

For: ELECTROMAGNETIC FIELD  
GENERATING ELEMENT,  
INFORMATION RECORDING AND  
REPRODUCING HEAD AND  
INFORMATION RECORDING AND  
REPRODUCING DEVICE

Examiner: Neyzari, Ali

**INFORMATION DISCLOSURE STATEMENT (IDS)**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

\*\*\*\*\*

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 (Express Mail Label No: **EM 053199172 US**), and is addressed to Mail Stop: AMENDMENT, Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 on August 15, 2007.

By Kathryn A. Grindrod  
Kathryn A. Grindrod

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Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references/documents listed on the attached PTO/SB/08a/b. It is respectfully requested that these references/documents be expressly considered during the prosecution of this application, and that these references/documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

I COPIES

- a.   X   Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.  
(Applications filed after June 30, 2003, no copies of cited US Patents are required and therefore, are not enclosed).
- b.        This application relies under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No.       , filed on       . The references listed on the attached Form PTO/SB08a/b were submitted to, and/or cited by, the Office in the prior application(s) and, therefore, are not required to be provided in this application.

II. CONCISE EXPLANATION OF THE RELEVANCE  
(check at least one box)

- a.   X   Except as may be indicated below in (b), all of the patents, publications or other information submitted herewith are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b.        A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- c.   X   The following additional information is provided for the Examiner's consideration:

Items CA-CC cited and provided herewith were utilized by the Applicants in a written opinion dated 30 July 2007 (copy and English language translation attached) responding to a Notice of Reasons for Refusal (copy and English language translation attached) issued in a case corresponding to this application by the Japanese Patent Office on 5 June 2007. This Notice of Reasons for Refusal did not cite any references against the corresponding Japanese application, but it did question the propriety of certain descriptions contained in the specification and claims. In these circumstances, Applicants believe that the United States Examiner should be given the opportunity to consider the position taken by the Japanese Patent Office and Applicants' written opinion in response thereto that includes an indication of the amendment made by Applicants (see page 2 of English translation of written opinion) as well as the publications relied upon in support of Applicant's written opinion in the Japanese Patent Office prior to the issuance of the present application as a United States Patent. Items AA-AB are United States Patents that have the same lead inventor as the present application that are deemed to also be potentially relevant to the issues raised by the Japanese Patent Office in the Reasons of Refusal dated 5 June 2007.

### FEES

III. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)  
(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits after the filing of a Request for Continued Examination (37 C.F.R. § 1.97(b) (4)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

a. \_\_\_\_\_ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. §1.17(p).

**OR**

b. \_\_\_\_\_ See the certification below. No fee is required.

V. STATEMENT UNDER 37 C.F.R. § 1.97(d)

The undersigned hereby states that

\_\_\_\_\_ This Information Disclosure Statement is filed after the mailing date of a Final Office Action or Notice of Allowance, whichever occurred first, but on or before payment of the Issue Fee (37 CFR 1.97(d)). Accordingly, Applicant(s) respectfully hereby petition(s) that this Information Disclosure Statement be considered.

VI. STATEMENT UNDER 37 C.F.R. § 1.97(e)  
(check only one box)

The undersigned hereby states that

- a. \_\_\_\_\_ each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. \_\_\_\_\_ no item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
- c. \_\_\_\_\_ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.

  X   No fee is required.

  X   Applicant believes that additional fees beyond those submitted herewith are not required in connection with the consideration of this submission. However, if for any reason a further fee is required, a fee paid is inadequate or a credit is owed for any excess fee paid, you are hereby authorized and requested to charge and/or credit Deposit Account No. 04-1105, as necessary, for the correct payment of all fees which may be due in connection with the filing and consideration of this communication.

If the Examiner has any questions concerning this Information Disclosure Statement, he/she is requested to contact the undersigned. Further, if it is determined that this Information Disclosure Statement has been filed under the wrong rule, the United States Patent and Trademark Office is requested to consider this Information Disclosure Statement under the proper rule, with a petition if necessary, and to charge the appropriate fee to Deposit Account No. **04-1105**.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 04-1105, under Order No. 61092(70904). A duplicate copy of this paper is enclosed.

Dated: August 15, 2007

Respectfully submitted,

By David A. Tucker

David A. Tucker

Registration No.: 27,840

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Application No. (if known): 10/811,429

Attorney Docket No.: 61.092 (70904)

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. **EM 053199172 US** in an envelope addressed to:

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on August 15, 2007  
Date

  
Signature

Kathryn A. Grindrod

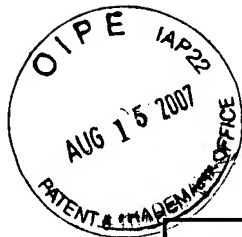
Typed or printed name of person signing Certificate

Registration Number, if applicable

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Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Fee Transmittal (2 pages)  
Request for Continued Examination Transmittal (2 pages)  
Information Disclosure Statement (6 pages)  
Form PTO/SB/08a/b (w/5 references) (1 page)  
Return Receipt Postcard  
Authorization to charge \$790.00 to deposit account 04-1105



Used in Lieu of PTO/SB/08A/B  
(Based on PTO 04-07 version)

<b>Substitute for form 1449/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/811,429
				Filing Date	March 25, 2004
				First Named Inventor	Sintaro Miyanishi
				Art Unit	2627
				Examiner Name	Neyzar, Ali
Sheet	1	of	1	Attorney Docket Number	61,092 (70904)

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA*	US 6,687,195 B2	02-03-2004	Miyanishi, et al	
	AB	US 6,956,808 B2	10-18-2005	Miyanishi, et al	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
						√

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with a single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	Onari, S., <i>Spectroscopy of Solids</i> , Shokodo Publishing Co., Ltd, 1 <sup>st</sup> ed., September 20, 1994, page 33.	√
	CB	Otsu, M. and Kawada, S. (ed): <i>Near-field Nano-photonics Handbook</i> , Optronics Co., Ltd., 1 <sup>st</sup> ed. September 5, 1997, pages 178-179.	√
	CC	Koyama, F. et al.: "Surface emitting lasers for near-field optics", <i>Oyo Butsuri</i> , Japan Society of Applied Physics (JSAP), Vol. 68, No. 12, pages 1380-1383.	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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